DEPARTMENT OF THE ARMY
HEADQUARTERS, UNITED STATES ARMY MATERIEL COMMAND
5001 EISENHOWER AVENUE, ALEXANDRIA, VA 22333-0001

AMC REGULATION   16 February 1999
NO.   1-201

Administration

ARMY MATERIEL COMMAND OVERSIGHT POLICY

Supplementation. The policies outlined in this regulation may not be modified. Local supplementation is authorized for implementa-tion purposes only. Copies of all local supplementation are to be provided to the Army Materiel Command (AMC) Inspector General (IG) Activity, ATTN: AMXIG-IS-SI.

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*This regulation supersedes AMC-R 1-201, 10 June 1997 and all changes.

SUMMARY OF CHANGES

This revision updates AMC oversight policy and the Organizational Inspection Program. Because this publication has been extensively revised, the changes have not been highlighted.

CHAPTER 1

INTRODUCTION

1-1. **Purpose**. This regulation outlines the responsibilities and policies for--

a. *Planning and conducting oversight activities*. Oversight activities provide the Commander/Director a degree of assurance or measure of effectiveness on the implementation and operation of programs, functions, and policies. The conduct of oversight activities is at the discretion of each Commander/Director, except for those oversight activities required to be conducted by law, statute, or regulation. NOTE: Unless otherwise stated, the term "oversight activity" as used in this regulation includes inspections, Staff Assistance Visits (SAV), assessments, reviews, evaluations, surveys, etc. However, the term "oversight activity" does not include audits.

b*. Developing and implementing the Commander's Organizational Inspection Program (OIP) within the U.S. Army Materiel Command (AMC).* A listing of the types of oversight activities (current as of 31 Dec 98) conducted by Headquarters (HQ) AMC and agencies external to AMC are listed in appendix A. A specific schedule of oversight activities (upcoming, ongoing, and completed) is available in the HQ AMC Oversight Activity Information Database (Requirements Control Symbol (RCS) AMXIG-1000) which is available on the HQ AMC Local Area Network (LAN) (see appendix D). The AMC IG portion of the database is updated monthly. The AMC Staff has been tasked to update their portion of the database as changes occur.

1-2. **Scope**. This regulation applies to HQ AMC, AMC major subordinate commands (MSC) (including their subordinate installations and organizations), and separate reporting activities (SRA) reporting directly to HQ AMC.

1-3. **Acronyms and Definitions**. See the glossary.

1-4. **References**. See appendix C.

CHAPTER 2

AMC AUDIT/OVERSIGHT ACTIVITY/INSPECTION POLICY

2-1. **General.** The paragraphs below contain the policy for conducting audits, oversight activities, and inspections.

2-2. **Audit Policy**. Audits are conducted per General Accounting Office (GAO) "Government Auditing Standards" (Yellow Book).

2-3. **Oversight Activity Policy**. All AMC oversight activities will--

    a. Be mission-oriented.

    b. Be coordinated to avoid duplication. This can be accomplished by--

        (1) Minimizing the number of oversight activities conducted. Oversight activities by higher headquarters more than one echelon above the activity being reviewed should complement oversight activities by the reviewed activity's immediate headquarters. For example, the issues to be covered during a HQ AMC oversight activity of an MSC subordinate site should complement - not duplicate - any oversight activities already done on the same issue at that MSC subordinate site.

        (2) Ensuring that they are brief in duration and efficiently scheduled to minimize disruption.

        (3) Coordinating in advance. The visited activity should be given 30 days notice prior to the proposed visit. For SAVs, provide as much advance notification as possible. It is incumbent on all staff elements to fully coordinate all oversight activities.

        (4) Periodically reviewing planned oversight activities for potential cancellation or consolidation with another requirement. When the makeup of the oversight activity team is from several offices/agencies, their efforts will be combined and one individual/office will be charged with coordinating their activities.

(5) Sharing lessons learned with others interested in the functional area being reviewed to preclude the necessity for other oversight activities.

    c. Be performance-oriented. Every oversight activity of an organization or functional area must start with an evaluation of performance against the recognized standard to identify compliance with the standard. Deviation below the standard should be

explored to determine reasons for the deviation, e.g., inadequate training, insufficient resources, lack of understanding of requirements, lack of motivation, etc.

   d.   Be "teach and train" oriented. Oversight activities are not considered complete if those visited have not been taught the standards and how to achieve them.

   e.   Identify corrective action. The ultimate purpose of all oversight activities is to help the Commander/Director correct problems. While oversight activities alone do not always fix deficiencies, they should bring shortcomings to the attention of those who have the authority to correct them.

   f.   Result in a verbal/written report. Oversight activity reports (verbal or written) form a key element in a successful oversight program and must therefore be prepared per the following guidelines:

      (1) Verbal Reports. The contents of verbal reports must be documented in a memorandum for record (MFR) and be included as part of the total oversight activity file.

      (2) Written Reports. If a written report is required and a verbal report has been given, care should be taken to ensure that the written report accurately reflects the content of the verbal report. When oversight activities indicate that violations of Federal Statute or Public Law (PL) have occurred, a formal written report will <u>always</u> be required.

      (3) Verbal and Written Reports.

         (a) All deficiencies noted in reports will include the specific regulatory or policy standard against which the visited activity was measured. Recommendations will identify the office responsible for taking corrective actions.

         (b) Whenever possible, interim results should be coordinated with the visited activity as the oversight activity progresses. This will allow the visited activity to initiate immediate corrective action on each deficiency, and there should be "no surprises" at the end of the visit.

         (c) The final results will go directly to the Commander/Director or to his/her staff, as appropriate.

   g.   Identify strengths/"Good News". Recognizing strengths and positive actions/efforts as well as shortcomings helps motivate soldiers and civilians to maintain high standards of performance.

h. Result in follow-up, when appropriate. The oversight
activity is not considered complete unless action is taken to
ensure corrective actions have been accomplished. The proponent
determines the timing and means of accomplishing follow-up actions
(a matrix of follow-up responsibilities is shown at appendix B).
All follow-up actions must be documented (e.g., report, MFR, etc.)
and be included as part of the total oversight activity file. The
purpose of a follow-up is to determine if the corrective action
taken is--

        (1) Effective and complete.

        (2) Producing the desired results and is not causing new
problems.

        (3) Economical, efficient, practicable and feasible.

2-4. **Inspection Policy.** All AMC inspections will--

    a. Meet all of the requirements listed in paragraph 2-3.

    b. Be tailored to meet the needs of the Commander/Director.
Inspections need to be relevant and responsive to the Commander/
Director and provide practical, accurate feedback to allow the
Commander/Director and his/her staff to make timely, informed
decisions.

    c. Be purposeful. Inspections must have a specific purpose
approved by the Commander/Director.

    d. Determine the root cause. Inspections will identify the
root cause of a problem and determine its source in the overall
functional process or organizational structure.

CHAPTER 3

ORGANIZATIONAL INSPECTION PROGRAM (OIP)

3-1. **Purpose.** AMC's OIP is established per Army Regulation (AR) 1-201 and this regulation. The OIP is the Commander's/ Director's program. The objective of an OIP is to provide the Commander/Director with an organized management tool to measure the effectiveness of the implementation and operation of programs, functions, and policies and to aid in the timely identification of problem areas. The OIP--

a. Is tailored to the organization's mission and structure.

b. Is able to identify problems regardless of the difficulty in resolving the problems.

c. Has a feedback mechanism so that identified problems can be tracked for resolution.

d. Combines inspections, oversight activities, and audits.

e. Provides schedules of oversight activities.

f. Enhances the capability of information sharing.

g. Allows for broad analysis of information to identify potential systemic issues and problems.

3-2. **OIP Components.** The OIP consists of the following elements:

a. Command Inspections. Command Inspections will be conducted per AR 1-201 for AMC Tables of Organization and Equipment units. Command Inspections of AMC Tables of Distribution and Allowances organizations are discretionary. In commands that have units requiring a Command Inspection, the following applies:

(1) The Commander/Director of the inspecting headquarters must lead and participate in the inspection. At a minimum, the Commander/Director must be present during a portion of the inspection as a participant and must provide the inspected Commander/Director an assessment of strengths and weaknesses upon completion.

(2) A new commander will receive an Initial Command Inspection (ICI) from his/her rater within 90 days of the assumption of command. The ICI ensures that the new commander

understands the unit's strengths and weaknesses, and receives a clear picture of the goals, standards, and priorities for the unit. It will appear on the training schedule and will serve to evaluate the condition of the unit. However, it will not be used to evaluate the commander's performance since assuming command and results go only to the inspected unit commander.

(3) Subsequent Command Inspections (SCI) measure progress and reinforce goals and standards established during an ICI. Commanders/Directors will determine the frequency of SCIs.

b. Inspector General (IG) Inspections. IG inspections, including Quick Reaction Assessments (QRA), are conducted by an IG using a combination of the compliance and/or systemic methodologies. IG inspections are oriented toward the identification of problems, determination of their root causes, recommendations or possible solutions, and assignment of responsibilities for correcting the problems. Generally, IG inspections focus on issues rather than on units.

c. Staff Inspections. Staff inspections are compliance oriented and normally look at compliance with established policies and/or procedures or may include follow-up on previous inspections (Command, Staff, or IG) or audits. Staff inspections normally focus on a single function or a few related functions and should be conducted by a technically qualified person at the lowest echelon possible. Staff inspections should complement Command and IG inspections and, when possible, should be combined under Command Inspections to eliminate disruption and potential duplication within the inspected activity.

d. Staff Assistance Visits (SAV). The primary purpose of SAVs is to help the visited organization improve its performance. They are directed by the functional proponent or are at the request of the visited organization. SAVs should be conducted by a technically qualified person at the lowest echelon possible. SAVs are considered part of the OIP because they have many of the characteristics of inspections and because of their impact on the visited activity. NOTE: The AMC IG's Assistance Visits are considered SAVs.

e. Audits. Audits are included in the OIP to help reduce duplication of effort, resolve scheduling conflicts, and facilitate sharing of information and results.

3-3. **Oversight Effectiveness**. To determine the effectiveness of the OIP and its elements, the head of each office within a Command/ organization that conducts oversight activities as part of the OIP will--

a. Continually monitor the results and effectiveness of his/her organization's oversight activities in accomplishing the goal of the OIP.

b.   Conduct an annual self-analysis (RCS AMXIG-1094) of his/her organization's oversight activities. This analysis will validate the utility of his/her organization's oversight activities for the preceding Fiscal Year (FY) and identify any changes necessary to improve future effectiveness.

3-4.   **Intelligence Oversight**.   IGs will provide independent review of intelligence oversight activities and components within their command per AR 381-10 and AR 20-1. It is the responsibility of IGs at every level to include intelligence oversight activities as part of their OIP. The AMC IG will annually conduct--

a.   Intelligence oversight program reviews at MSCs with the detailed IG of that MSC.

b.   Intelligence oversight inspections at those sites (MSCs/SRAs and installations) without a designated detailed IG.

c.   An intelligence oversight inspection of HQ AMC.

3-5.   **Special Access Programs (SAP).**   MSC IGs will not include acquisition SAPs as separate entities in their OIPs. External audits/inspections of SAPs will be coordinated at the HQ AMC level by the Intelligence and Technology Security Activity (ITSA).

CHAPTER 4

RESPONSIBILITIES

4-1. **HQ AMC.**

a. HQ AMC Commander will establish an OIP to facilitate and implement oversight activity policy per AR 1-201 and Field Manual (FM) 25-100.

b. HQ AMC IG will--

(1) Be the proponent for AMC-wide oversight activity policy and the OIP.

(2) Act as the HQ AMC OIP Manager.

(3) Advise Commanders/Directors and staff on oversight activity policy, as requested.

(4) Maintain an automated database on the HQ AMC LAN (RCS AMXIG-1000) containing information on scheduled oversight activities based on the types of oversight activities listed in appendix A. Inspections of AMC conducted by external oversight agencies will also be included when available.

(5) Task the HQ AMC Staff to perform an annual analysis (RCS AMXIG-1094) of the types of oversight activities conducted by their organization (appendix A) during the preceding FY. They will also be tasked to update their portion of appendix A.

(6) Review the results of the annual analysis of oversight activities conducted per paragraph 3-3 of this regulation and provide the results to the HQ AMC Commander.

(7) Serve as the focal point for all external IG inspections.

(8) Conduct follow-up inspections, as appropriate.

(9) Conduct independent reviews of intelligence oversight activities within the Command per AR 381-10 and AR 20-1.

c. HQ AMC Staff Elements will--

(1) Designate a central point of contact (POC) for oversight activities and provide the POC's name and telephone number to the HQ AMC OIP Manager (AMXIG-IS-SI). Any changes in POC should be reported to the HQ AMC OIP Manager as they occur.

(2) Identify oversight activity requirements in functional areas for which they and/or their SRAs are responsible and determine which subordinate commands (to include SRAs) are to be visited.

(3) Develop an annual schedule of oversight activities to be conducted by their Deputy Chief of Staff/Separate Office (DCS/SO) for the upcoming FY; input this schedule into the HQ AMC Oversight Activity Information Database (RCS AMXIG-1000) by the last workday of September each year; and, update this information throughout the year as changes occur.

(4) Provide the HQ AMC OIP Manager any changes to the types of oversight activities listed in appendix A for their functional area. Changes will be forwarded by the last workday of September each year to the HQ AMC OIP Manager (AMXIG-IS-SI).

(5) Conduct appropriate oversight activities per their schedule and prepare a report for each oversight activity conducted per the guidance contained in Chapter 2, paragraph 2-3f.

(6) Document all follow-up actions.

(7) Conduct an annual analysis (RCS AMXIG-1094) per paragraph 3-3 of the types of oversight activities being conducted, and provide analysis results to the HQ AMC OIP Manager by the last workday of September of each year.

d. HQ AMC Internal Review and Audit Compliance Office (IRAC) will--

(1) Work closely with the HQ AMC OIP Manager to achieve a mutually complementary effort. IRAC will be the Commander's principle advisor on all audit matters and an integral part of the command's OIP.

(2) Conduct audits per paragraph 2-2 of this regulation, AR 11-7, AR 36-5, and Department of Defense (DOD) 7600.7M Internal Audit Manual.

(3) Establish and execute an audit follow-up system per AR 11-7 and AR 36-2.

e. DCS for Research, Development and Acquisition. Coordinate and respond to Defense Contract Audit Agency (DCAA) audit reports.

4-2. **Major Subordinate Commands**. MSC Commanders will--

a. Implement inspection policy per AR 1-201, AR 20-1, and this regulation and establish an OIP.

b.   Provide a copy of their command's implementation document to the HQ AMC OIP Manager (Commander, AMC Inspector General Activity, ATTN: AMXIG-IS-SI, 5001 Eisenhower Avenue, Alexandria, VA 22333-0001).

c.   Ensure all of their subordinate organizational elements, including AMC program managers, are included in their OIP; determine which of those subordinate elements are required to establish OIPs per AR 1-201 and this regulation; and, provide guidance to them.

d.   Designate a proponent for oversight activity policy.

e.   Designate an OIP Manager for all OIP-related actions.

f.   Require oversight activities to be conducted per AR 1-201, AR 20-1, and this regulation.

g.   Provide any systemic issues surfaced during oversight activities to the HQ AMC OIP Manager (Commander, AMC Inspector General Activity, ATTN: AMXIG-IS-SI, 5001 Eisenhower Avenue, Alexandria, VA 22333-0001).

> The proponent of this regulation is the United States Army Materiel Command (AMC) Inspector General (IG) Activity. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) to Commander, U.S. Army Materiel Command Inspector General Activity, ATTN: AMXIG-IS-SI, 5001 Eisenhower Avenue, Alexandria, VA 22333-0001.

FOR THE COMMANDER:

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APPENDIX A

TYPES OF OVERSIGHT ACTIVITIES CONDUCTED BY HQ AMC
CURRENT AS OF 31 DEC 98

Oversight Activity Categories. Based on the perspective of
the organization being visited, all oversight activities are
either internal or external. An internal oversight activity is
conducted by the organization being visited. An external
oversight activity is conducted by any organization outside of the
organization being visited. Both internal and external oversight
activities fall into one of the following categories:

    a. *Required*. An oversight activity required to be performed
by law, statute, or regulation.

    b. *Discretionary*. An oversight activity conducted at the
option of the Commander/Director and/or functional proponent.

INDEX OF APPENDIX A

DCS FOR AMMUNITION (AMCAM)
AS OF 31 DEC 98

TYPES OF REQUIRED OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Ammunition Review & Assistance Program	AMCAM-LG DSN 767-9809 (U.S. Army Defense Ammunition Center conducts for AMCAM, DSN 585-8048)	AMC-R 700-9	Periodic
Surety Mgmt Review (SMR)/ Initial Response Force Exercise (IRFX) - Reactors	AMCAM-LG DSN 767-4796 (Surety Field Activity (SFA) conducts for AMCAM (by agreement w/AMCCB), DSN 584-8466)	AMC-R 50-1	18 months (between Department of the Army Inspector General (DAIG) Reactor Facility Inspections (RFIs))
Response Task Force Exercise	AMCAM-LG DSN 767-4796 (U.S. Army Test and Evaluation Command & SFA conduct for AMCAM, DSN 298-1312)	Department of Defense Directive (DODD) 3150.8 AR 50-5	To be determined

TYPES OF DISCRETIONARY OVERSIGHT ACTIVITIES: None

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
RFI	DAIG, SAIG-ID DSN 329-1111	AR 50-5	18 months

DCS FOR CHEMICAL & BIOLOGICAL MATTERS (AMCCB)
AS OF 31 DEC 98

TYPES OF REQUIRED OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
SMR	AMCCB DSN 767-8786 (SFA conducts for AMCCB, DSN 548-3255)	AR 50-6 AMC-R 50-1	Midway between Chemical Surety Inspections (CSIs)
Service Response Force Exercise	AMCCB DSN 767-8786 (U.S. Army Soldier & Biological Chemical Command (SBCCOM) conducts for AMCCB, DSN 584-2933)	AR 50-6	24 months
Chemical Stockpile Emergency Preparedness Program Exercise (CSEPPX)	AMCCB DSN 767-8786 (SBCCOM conducts for AMCCB, DSN 584-2530)	AR 50-6	12 months (may be combined with IRFX)
Chemical Agent Std Analytical Ref Material (CASARM) Quality Control/ Quality Assurance Audit	AMCCB DSN 767-8786 (CASARM Quality Assurance Branch conducts for AMCCB, DSN 584-4798)	Department of the Army (DA) Pamphlet 385-61	12 months
Chemical IRFX	AMCCB DSN 767-8786 (SFA conducts for AMCCB, DSN 584-3255)	AR 50-6 AMC-R 50-1	12 months (may be combined with CSEPPX or SMR)

TYPES OF DISCRETIONARY OVERSIGHT ACTIVITIES: None

AMCCB (Cont'd)

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Chemical Management Evaluations	DAIG, SAIG-ID DSN 329-1161	AR 50-6	As needed
CSIs	DAIG, SAIG-ID DSN 329-1161	AR 50-6	18 months
Surety Assistance Visits	U.S. Army Nuclear/ Chemical Agency DSN 656-7855	AR 10-16	12-18 months or as requested (may be combined with SMR)
Chemical Explosive Safety Survey	DOD Explosive Safety Board DSN 221-0892	DODD 6055.9	12 months
Biological Warfare Defense Facility Visits	Office of the Secretary of Defense DSN 224-8620	U.S./UK/ Russian Trilateral Statement on Biological Weapons & Biological Weapons Convention	Unannounced

DCS FOR CORPORATE INFORMATION (AMCIO)
AS OF 31 DEC 98

TYPES OF REQUIRED OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Information Management Program	AMCIO DSN 767-8959	AR 25-1	36 months

TYPES OF DISCRETIONARY OVERSIGHT ACTIVITIES: None

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES: None

DCS FOR ENGINEERING, HOUSING,
ENVIRONMENT, & INSTALLATION LOGISTICS (AMCEN)
AS OF 31 DEC 98

TYPES OF REQUIRED OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Administrative Transport Management Survey	AMXEN* DSN 793-5018	AR 58-1	48 months
Command Supply Management Review	AMXEN* DSN 793-5018	AR 710-2	24 months
Command Equipment Management Program Review	AMXEN* DSN 793-5018	AR 11-1	48 months
Equipment Survey Program	AMXEN* DSN 793-5018	AR 570-7	48 months
Facilities Engineering/ Energy Program Review	AMXEN* DSN 793-5018	AR 420-10	24 months
Environmental Compliance Assessment System	AMXEN* DSN 793-5018	AR 200-1	36 months
Fire Protection Operational Readiness Inspection	AMXEN* DSN 793-5018	AR 420-90	24 months
Food Service Program Management Review	AMXEN* DSN 793-5018	AR 30-1	12 months
Natural Resources Program Review	AMXEN* DSN 793-5018	AR 200-3	36 months

TYPES OF DISCRETIONARY OVERSIGHT ACTIVITIES: None

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES: None

* AMC Installations & Services Activity conducts for AMCEN.

DCS FOR INTELLIGENCE (AMCMI)
AS OF 31 DEC 98

TYPES OF REQUIRED OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Communications Security Inspection	AMCMI DSN 767-0081	Executive Order 12958 AR 380-40	24 months
Intelligence & Security Program Oversight	AMCMI DSN 767-9068 (Security Support Div. Conducts for AMCMI, DSN 797-5620)	AR 380-10 AR 380-28 AR 380-5 AR 380-19 AR 380-67 AR 530-1	24 months
SAP SAVs	AMCMI DSN 767-9528 (AMCMI (ITSA) is a team member)	AR 380-381 AMC-R 37-59	36 months

TYPES OF DISCRETIONARY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Security & Intelligence Assistance Visits	AMCMI DSN 767-9068	AR 380-5 AR 380-19 AR 380-67	As necessary
Arms Control Site SAV	AMCMI DSN 767-9066	AR 530-1	As required

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
SAP Inspection	DAIG, SAIG-IO	AR 380-381	18 months
SAP Audits	Army Audit Agency (AAA)	AR 380-381	As directed
SAP Audits	GAO	AR 380-381	As directed
SAP Audits	DCAA	DODD 5205.7 AR 380-381	As directed
SAP	DOD Inspector General (DODIG)	DODD 5205.7 AR 380-381	As directed
Sensitive Compartmented Info Facility Physical Security	Defense Intelligence Agency (DIA)	DIA, DIAM-M1	24 months

DCS FOR LOGISTICS & OPERATIONS (AMCLG)

TYPES OF REQUIRED OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Aviation Resource Management Survey	AMCLG-OP(AVN) DSN 767-9891	AR 95-1	18 months
Force Protection Program Review	AMCLG-OF DSN 767-0674	AR 525-13	36 months

TYPES OF DISCRETIONARY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Inventory Control Effectiveness Review	AMCLG-LS DSN 767-8278	AR 740-26	24 months

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Joint Staff Integrated Vulnerability Assessment	J-343, Joint Staff DSN 223-5469 (conducted by Defense Special Weapons Agency)	DODD 2000.12	As directed

DCS FOR PERSONNEL (AMCPE)
AS OF 31 DEC 98

TYPES OF REQUIRED OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Alcohol & Drug Abuse Prevention & Control Program (ADAPCP) Management Review	AMCPE DSN 767-4705	AR 600-85	12 months
Major Command Child Care Evaluation Team	AMCPE-MP DSN 767-8529	PL 101-189 AR 608-10	12 months Unannounced
Intelligence Security Program Oversight	AMCMI DSN 676-2025 (AMXMI conducts for AMCMI, DSN 797-5620)	AR 380-5 AMC Suppl 1 to AR 380-5	18-24 months
Physical Security Surveys	AMCPE-S DSN 767-9033 (AMXMI conducts for AMCPE-S, DSN 797-5620)	AR 190-13 AMC Suppl 1 to AR 190-13	18-24 months

TYPES OF DISCRETIONARY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Army Community Services Program Review	AMCPE-F DSN 767-4705	AR 608-1	Periodic
Family Advocacy Program Review	AMCPE-F DSN 767-4705	AR 608-18	Periodic
Army Continuing Education Review	AMCPE-CC-E DSN 767-9845	AR 621-5	Periodic

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
ADAPCP Management Review	DA DCS for Personnel DSN 225-4450	AR 600-85	As required

DCS FOR RESEARCH, DEVELOPMENT & ACQUISITION (AMCRDA)
AS OF 31 DEC 98

TYPES OF REQUIRED OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Acquisition Reform Implementation Assessment Team/Procurement Management Review (PMR)	AMCRDA DSN 767-9405/ 767-9379	DODD 5126.034 AR 715-11	annual

TYPES OF DISCRETIONARY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
On-Site Review of Production Base Support	AMCRDA-AI DSN 767-9655	AR 700-90	As required

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES: None

HISTORICAL OFFICE (AMCHO)
AS OF 31 DEC 98

TYPES OF REQUIRED OVERSIGHT ACTIVITIES: None

TYPES OF DISCRETIONARY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
SAVs	AMCHO DSN 767-3776	AR 870-5	12 months

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES: None

INTERNAL REVIEW & AUDIT COMPLIANCE OFFICE (AMCIR)
AS OF 31 DEC 98

TYPES OF REQUIRED OVERSIGHT ACTIVITIES: None

TYPES OF DISCRETIONARY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
IRAC Quick Response Audits	AMCIR DSN 767-9021	DOD 7600.7.M AR 11-7	As directed or requested
IRAC Quality Assurance Reviews	AMCIR DSN 767-9021	DOD 7600.7.M AR 11-7	36 months

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES: None

NOTE: This appendix does not pertain to the audit program conducted by IRAC. The POC for IRAC's audit program is Chief, IRAC Office, DSN 767-0138.

OFFICE OF THE CHAPLAIN (AMCCH)
AS OF 31 DEC 98

TYPES OF REQUIRED OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Nonappropriated Chaplains Fund	AMCCH DSN 767-9433	AR 165-1	12 months
Command Religious Program	AMCCH DSN 767-9435	AR 165-1	12 months
Chaplain SAV	AMCCH DSN 767-9435	AR 165-1 AMC-R 10-2	Periodic
Chaplain Crisis Response Team	AMCCH DSN 767-9435	AR 50-6	18 months
Nonappropriated Chaplains Fund Audit	AMCCH DSN 767-9433	AR 165-1	As requested

TYPES OF DISCRETIONARY OVERSIGHT ACTIVITIES: None

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES: None

OFFICE OF EQUAL OPPORTUNITY (AMCEE)
31 DEC 98

TYPES OF REQUIRED OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Evaluations of Subordinate Equal Employment Opportunity Programs	AMCEE DSN 767-9003	AR 690-12 AR 690-600	Periodic

TYPES OF DISCRETIONARY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
SAVs	AMCEE DSN 767-9003	AR 690-12 AR 690-600	As requested or indicated

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES: None

OFFICE OF THE INSPECTOR GENERAL (AMCIG)
AS OF 31 DEC 98

TYPES OF REQUIRED OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Oversight of Intelligence Oversight	AMXIG-IS DSN 767-8072	AR 20-1	12 months

TYPES OF DISCRETIONARY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
General Systemic Inspections	AMXIG-IS DSN 767-8072	AR 20-1	As directed by Commander
Procurement Systemic Inspections	AMXIG-IS DSN 767-8072	AR 20-1	As directed by Commander
QRAs	AMXIG-IS DSN 767-8072	AR 20-1	As directed by Commander
Assistance Visits	AMXIG-IA DSN 767-8064	AR 20-1	As needed or by request of MSC/SRA Commander/ Director

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
DAIG Systemic/ Compliance Inspections	DAIG DSN 329-1888	AR 20-1	As directed by Secretary of the Army, etc.

OFFICE OF SMALL & DISADVANTAGED
BUSINESS UTILIZATION (AMCSB)
AS OF 31 DEC 98

TYPES OF REQUIRED OVERSIGHT ACTIVITIES: None

TYPES OF DISCRETIONARY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Small Business SAVs	AMCSB DSN 767-8185	DODD 4205.1	36 months (done in conjunction w/AMCRDA PMRs)

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES: None

SAFETY OFFICE (AMCSF)
AS OF 31 DEC 98

TYPES OF REQUIRED OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Aviation Safety Survey	AMCSF-A DSN 767-5476	AR 385-95	12 months

TYPES OF DISCRETIONARY OVERSIGHT ACTIVITIES: None

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES			
Title	Proponent	Authority	Frequency
Occupational Safety & Health Administration (Federal/State)	U.S./State Department of Labor	29 Codified Federal Regulation (CFR) 1960.31 AR 385-10	Limited notice
Nuclear Regulatory Commission (NRC) Safety Inspection	NRC	10 CFR 2, Appendix c, Section II.A	Limited notice
Radiological Hygiene Survey	Surgeon General	AR 385-11 AR 40-5	36-60 months
Management Review of Biological Defense Occupational Safety & Health Program	HQDA (DACS-SF)	32 CFR 626.4 (c)(6)	annual
Biological Defense Safety Evaluation	HQDA (DACS-SF)	32 CFR 626.4 (c) (7) AR 385-69	As directed
Biological Safety Site Assistance Visit	U.S. Army Medical Research & Development Command	32 CFR 626.4 (f) (1) AR 385-69	As directed by DACS-SF
Chemical Agent Safety Management Evaluation	HQDA (DACS-SF)	AR 385-61	As directed

AMCSF (Cont'd)

TYPES OF EXTERNAL AGENCY OVERSIGHT ACTIVITIES (Cont'd)			
Title	Proponent	Authority	Frequency
Chemical Safety Site Assistance Visit	U.S. Army Nuclear & Chemical Agency	AR 385-61	As directed
Air Traffic Control Operations, Training & Equipment Maintenance Evaluation & Assistance	U.S. Army Air Traffic Control Activity	AR 95-2	As directed
Explosives Safety Survey	DOD Explosives Safety Board	32 CFR 186.6 (f) DODD 6055.9	As directed
Occupational Safety & Health Program	HQDA (DACS-SF)	DOD Instruction 6055.1 AR 385-10	36 months

ORGANIZATIONS WITH NO OVERSIGHT REQUIREMENTS
AS OF 31 DEC 98

The following organizations report no internal or external oversight requirements:

1. Resource Management
2. Congressional Liaison Office
3. Foreign Liaison Office
4. Public Affairs Office
5. Command Counsel
6. Office of the Surgeon
7. OMBUDSMAN
8. Protocol Office
9. Senior Advisor, Army Reserve
10. Senior Advisor, National Guard
11. Special Analysis Office
12. Special Assistant for Quality
13. International Cooperative Programs Activity

APPENDIX B

FOLLOW-UP RESPONSIBILITIES MATRIX

Type of Oversight	AMC IG	MSC IG	AMC IRAC	MSC IRAC	DCS RDA	MSC CDR	AMC STAFF	MSC STAFF
DAIG Inspections	1	1						
AMC IG General Systemic Inspections	2	1					1	1
AMC IG Procurement Systemic Inspections	2	1			1		1	
AMC IG QRAs	2	1						
MSC IG Inspections		2						
Command Inspections						2		
HQ AMC Staff Inspections							2	
MSC Staff Inspections								2
HQ AMC SAVs							2	
MSC SAVs								2
DODIG Audits			1,2	1,2				
GAO Audits			1,2	1,2				
AAA Audits			1,2	1,2				
Commercial Audits			1,2	1,2				
DCAA Audits					1			
HQ AMC IRAC Audits			2	1				
MSC IRAC Audits				2				

1 = Monitors applicable findings/results.
2 = Conducts follow-up action.

APPENDIX C

REFERENCES

The following related publications are a source of additional information.

AMC-R 1-9   Visits to HQ AMC Installations & Activities

AR 1-201   Army Inspection Policy
AR 11-2   Internal Management Control
AR 11-7   Internal Review & Audits Compliance Program
AR 20-1   Inspector General Activities & Procedures
AR 36-2   Audit Reports & Follow-up
AR 36-5   Auditing Service in the Department of the Army
AR 381-10   U.S. Army Intelligence Activities with AMC
                 Supplement 1

DOD 7600.7-M   Internal Audit Manual

FM 25-100   Training the Force

PL 101-576   The Chief Financial Officers Act

GAO's Government Auditing Standards (Yellow Book)

APPENDIX D

INSTRUCTIONS FOR ACCESSING THE
OVERSIGHT ACTIVITY INFORMATION DATABASE

This database has been designed by the AMC IG Activity for use by all LAN participants. It contains information on upcoming, ongoing, and completed:

    a. IG Inspections - Inspections conducted by AMC IG (systemic inspections, QRAs, assistance visits, etc.) and DAIG (systemic inspections, assessments, reviews, etc.).

    b. SAVs, assessments, reviews, etc. conducted by HQ AMC Staff Elements and their SRAs as outlined in appendix A of this regulation.

The AMC IG and designated DCSs/SOs have sole responsibility for the input of the information contained in this database. All others have read only capability.

To access this database, you must have a Notes server capable of replicating the HQ LAN Notes server. Your local DOIM should be able to assist you in accessing this database.

To load the Oversight Activity Information Database on your computer, please follow the instructions below.

From your Lotus Notes Workspace at Office window:

    Click "File"
    Select "Database"
    Select "Open"
    Click on Down Arrow Button
    Select "COMM01AMC/HQAMC/AMC/US"
    Double Click on "More"
    Double Click on "DCS"
    Double Click on "AMXIG"
    Select "Oversight"
    Click "Add Icon" Button
    Click "Done" Button

After you have followed the above procedures, you can obtain information about using this database by clicking on the Oversight Activity Information icon and selecting Help from the top line menu. Then click on USING THIS DATABASE.

If you have any problems with this procedure, please call Ms. Denise Brooks, DSN 767-8083.

GLOSSARY

Section I. ACRONYMS

AAA   Army Audit Agency
ADAPCP   Alcohol & Drug Abuse Prevention & Control Program
AMC   Army Materiel Command
AMC-R   Army Materiel Command Regulation
AR   Army Regulation

CASARM   Chemical Agent Standard Analytical Reference Material
CFR   Codified Federal Regulation
CSI   Chemical Surety Inspection
CSEPPX   Chemical Stockpile Emergency Preparedness Prg Exercise

DA   Department of the Army
DAIG   Department of the Army Inspector General
DCAA   Defense Contract Audit Agency
DCS   Deputy Chief of Staff
DIA   Defense Intelligence Agency
DOD   Department of Defense
DODD   Department of Defense Directive
DODIGDepartment of Defense Inspector General
DOIM   Directorate of Information Management
DSN   Defense Switched Network

FM   Field Manual
FY   Fiscal Year

GAO   General Accounting Office

HQ   Headquarters

ICI   Initial Command Inspection
IG   Inspector General
IRAC   Internal Review & Audit Compliance
IRFX   Initial Response Force Exercise
ITSA   Intelligence & Technology Security Activity

LAN   Local Area Network

MFR   Memorandum For Record
MSC   Major Subordinate Command

NRC   Nuclear Regulatory Commission

OIP   Organizational Inspection Program

PL   Public Law
PMR   Procurement Management Review
POC   Point of Contact

QRA	Quick Reaction Assessment
RCS	Requirements Control Symbol
RFI	Reactor Facility Inspection
SAP	Special Access Program
SAV	Staff Assistance Visit
SBCCOM	U.S. Army Soldier & Biological Chemical Command
SCI	Subsequent Command Inspection
SFA	Surety Field Activity
SMR	Surety Management Review
SO	Separate Office
SRA	Separate Reporting Activity

Section II. DEFINITIONS

Assistance Program. A program which offers assistance to commanders in sensing their military and civilian employees' perceptions of Army, AMC and local policies.

Audit. An audit consists of an evaluation of financial statements, a review of compliance with laws and regulations and/or a review of economy/efficiency of operations conducted by accountants and/or auditors.

Follow-up. A follow-up determines whether deficiencies found during a previous inspection, audit, or oversight activity have been corrected or corrective actions have been implemented. Its goal is to assess whether the corrective action is effective and complete, producing desired results, not causing new problems, economical and efficient, and practical and feasible.

Inspection. An inspection measures performance against a standard and should identify the cause of any deviation. Commanders tailor inspections to their needs. The four different types of inspections are--

    a. *Command Inspection*. An inspection of an organization conducted by the Commander/Director in the chain of command of the inspected activity. The Commander/Director conducting the inspection determines the areas of interest and the scope of the inspection, as well as the composition of any inspection team.

    b. *Compliance Inspection*. An inspection designed to determine the status of an organization's adherence to established laws, statutes, regulations, policies, procedures, and directives.

    c. *IG Inspection*. The two main types of IG inspections are:

        (1) Systemic Inspection. An inspection designed to identify problems or issues, determine the root causes of problems, develop recommended solutions/improvements and fix responsibility for the solutions. Systemic inspections focus on

issues rather than organizations or military units. The Commander to whom the IG reports determines the scope and areas of interest.

(2) Quick Reaction Assessment (QRA). A limited-scope inspection that provides time-sensitive feedback to leadership. In using this method, the Commander accepts some degree of risk in terms of thoroughness.

d. *Staff Inspection*. An inspection (other than a command or IG inspection) conducted by a staff member responsible for the functional area being inspected and focusing on a single function or related functions. Staff inspections normally evaluate compliance with policies/procedures and may include a follow-up on previous command inspections, IG inspections, and audits.

Organizational Inspection Program (OIP). An OIP is the Commander's/Director's program which integrates and coordinates all inspections, audits, and other oversight activities (e.g., SAVs,
staff inspections, etc.) within the command. The three major purposes of the program are to: reduce disruption; reinforce established inspection standards; and, teach and train those found deficient.

Oversight Activity. The term "oversight activity" includes all on-site reviews, evaluations, assessments, SAVs, and surveys.

Oversight Organization. The organization conducting the inspection, audit, or oversight activity.

Staff Assistance Visit (SAV). A visit conducted for the purpose of performing staff supervision, providing assistance, or conducting studies. The emphasis is on helping the visited headquarters, unit, or activity improve their operations.